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 USACE / NAVFAC / AFCEA UFGS-01330 (December 2004)  
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 Preparing Activity: <PRA>NAVFAC</PRA> Superseding  
 UFGS-01330 (January 2004)

## UNIFIED FACILITIES GUIDE SPECIFICATIONS

References are in agreement with UMRL dated 25 June 2004

Latest change indicated by CHG tags

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### SECTION 01330

#### SUBMITTAL PROCEDURES

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NOTE: This guide specification covers the requirements for general procedures regarding submittals called for in other sections of the specifications.

Comments and suggestions on this guide specification are welcome and should be directed to the technical proponent of the specification. A listing of <URL HREF=http://65.204.17.188/report/ufgs.html>technical proponents</URL>, including their organization designation and telephone number, is on the Internet.

Recommended changes to a UFGS should be submitted as a <URL HREF=http://65.204.17.188/projnet/cms/public.html>Criteria Change Request (CCR)</URL>.

Use of electronic communication is encouraged.

This guide specification includes tailoring options for USACE and NAVFAC requirements and for NAVFAC EFD and EFA regional requirements. Selection or deselection of a tailoring option will include or exclude that option in the section, but editing of the resulting section to fit the project is still required.

Brackets are used in the text to indicate designer choices or locations where text must be supplied by the designer.

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## PART 1 GENERAL

### 1.1 DEFINITIONS

#### 1.1.1 Submittal

Contract Clauses "FAR 52.236-5, Material and Workmanship," paragraph (b)

and "FAR 52.236-21, Specifications and Drawings for Construction," paragraphs (d), (e), and (f) apply to all "submittals."

#### 1.1.1.2 Submittal Descriptions (SD)

Submittals requirements are specified in the technical sections. Submittals are identified by SD numbers and titles as follows.

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**NOTE: The SD numbers and names, assigned by the  
 SPECSINTACT Configuration, Control and Coordinating  
 Board, relate to the terminology of the technical  
 sections and should not be changed.**  
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##### SD-01 Preconstruction Submittals

Certificates of insurance.  
 Surety bonds.  
 List of proposed subcontractors.  
 List of proposed products.  
 Construction Progress Schedule.  
 Submittal register.  
 Schedule of prices.  
 Health and safety plan.  
 Work plan.  
 Quality control plan.  
 Environmental protection plan.

##### SD-02 Shop Drawings

Drawings, diagrams and schedules specifically prepared to illustrate some portion of the work.

Diagrams and instructions from a manufacturer or fabricator for use in producing the product and as aids to the Contractor for integrating the product or system into the project.

Drawings prepared by or for the Contractor to show how multiple systems and interdisciplinary work will be coordinated.

##### SD-03 Product Data

Catalog cuts, illustrations, schedules, diagrams, performance charts, instructions and brochures illustrating size, physical appearance and other characteristics of materials or equipment for some portion of the work.

Samples of warranty language when the contract requires extended product warranties.

##### SD-04 Samples

Physical examples of materials, equipment or workmanship that illustrate functional and aesthetic characteristics of a material or product and establish standards by which the work can be judged.

Color samples from the manufacturer's standard line (or custom color samples if specified) to be used in selecting or approving colors for

the project.

Field samples and mock-ups constructed on the project site establish standards by which the ensuring work can be judged. Includes assemblies or portions of assemblies which are to be incorporated into the project and those which will be removed at conclusion of the work.

#### SD-05 Design Data

Calculations, mix designs, analyses or other data pertaining to a part of work.

#### SD-06 Test Reports

Report signed by authorized official of testing laboratory that a material, product or system identical to the material, product or system to be provided has been tested in accord with specified requirements. (Testing must have been within three years of date of contract award for the project.)

Report which includes findings of a test required to be performed by the Contractor on an actual portion of the work or prototype prepared for the project before shipment to job site.

Report which includes finding of a test made at the job site or on sample taken from the job site, on portion of work during or after installation.

Investigation reports.

Daily checklists.

Final acceptance test and operational test procedure.

#### SD-07 Certificates

Statements printed on the manufacturer's letterhead and signed by responsible officials of manufacturer of product, system or material attesting that product, system or material meets specification requirements. Must be dated after award of project contract and clearly name the project.

Document required of Contractor, or of a supplier, installer or subcontractor through Contractor, the purpose of which is to further quality of orderly progression of a portion of the work by documenting procedures, acceptability of methods or personnel qualifications.

Confined space entry permits.

Text of posted operating instructions.

#### SD-08 Manufacturer's Instructions

Preprinted material describing installation of a product, system or material, including special notices and Material Safety Data sheets concerning impedances, hazards and safety precautions.

#### SD-09 Manufacturer's Field Reports

Documentation of the testing and verification actions taken by manufacturer's representative to confirm compliance with manufacturer's standards or instructions.

Factory test reports.

#### SD-10 Operation and Maintenance Data

Data that is furnished by the manufacturer, or the system provider, to the equipment operating and maintenance personnel. This data is needed by operating and maintenance personnel for the safe and efficient operation, maintenance and repair of the item.

#### SD-11 Closeout Submittals

Documentation to record compliance with technical or administrative requirements or to establish an administrative mechanism.

##### 1.1.3 Approving Authority

Office authorized to approve submittal.

##### 1.1.4 Work

As used in this section, on- and off-site construction required by contract documents, including labor necessary to produce submittals, construction, materials, products, equipment, and systems incorporated or to be incorporated in such construction.

#### 1.2 SUBMITTALS

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NOTE: Submittals must be limited to those necessary for adequate quality control. The importance of an item in the project should be one of the primary factors in determining if a submittal for the item should be required.

A "G" following a submittal item indicates that the submittal requires Government approval. Some submittals are already marked with a "G". Only delete an existing "G" if the submittal item is not complex and can be reviewed through the Contractor's Quality Control system. Only add a "G" if the submittal is sufficiently important or complex in context of the project.

For submittals requiring Government approval on Army projects, a code of up to three characters within the submittal tags may be used following the "G" designation to indicate the approving authority. Codes for Army projects using the Resident Management System (RMS) are: "AE" for Architect-Engineer; "DO" for District Office (Engineering Division or other organization in the District Office); "AO" for Area Office; "RO" for Resident Office; and "PO" for Project Office. Codes following the "G" typically are not used for Navy projects.

Submittal items not designated with a "G" are considered as being for information only for Army projects and for Contractor Quality Control approval for Navy projects.

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Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are for information only or as otherwise designated. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government. The following shall be submitted in accordance with Section 01330 SUBMITTAL PROCEDURES:

#### SD-01 Preconstruction Submittals

Submittal register; G

### 1.3 SUBMITTAL CLASSIFICATION

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**NOTE: The remaining paragraphs of this specification section are for Army projects only.**

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Submittals are classified as follows:

#### 1.3.1 Government Approved

Government approval is required for extensions of design, critical materials, variations, equipment whose compatibility with the entire system must be checked, and other items as designated by the Contracting Officer. Government approval is required for any variations from the Solicitation or Accepted Proposal and other items as designated by the Contracting Officer.

Within the terms of the Contract Clause entitled "Specifications and Drawings for Construction," they are considered to be "shop drawings."

#### 1.3.2 Information Only

All submittals not requiring Government approval will be for information only. All submittals not requiring Designer of Record or Government approval will be for information only. They are not considered to be "shop drawings" within the terms of the Contract Clause referred to above. All submittals not requiring Government approval will be for information only. They are not considered to be "shop drawings" within the terms of the Contract Clause referred to above.

### 1.4 APPROVED SUBMITTALS

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**NOTE: Selection of construction or design-build construction text required.**

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The Contracting Officer's approval of submittals shall not be construed as a complete check, but will indicate only that the general method of construction, materials, detailing and other information are satisfactory design, general method of construction, materials, detailing and other

information appear to meet the Solicitation and Accepted Proposal. Approval will not relieve the Contractor of the responsibility for any error which may exist, as the Contractor under the Contractor Quality Control (CQC) requirements of this contract is responsible for [dimensions, the design of adequate connections and details, and the satisfactory construction of all work] [design, dimensions, all design extensions, such as the design of adequate connections and details, etc., and the satisfactory construction of all work]. After submittals have been approved by the Contracting Officer, no resubmittal for the purpose of substituting materials or equipment will be considered unless accompanied by an explanation of why a substitution is necessary.

#### 1.5 DISAPPROVED SUBMITTALS

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**NOTE: Selection of construction or design-build  
 construction text required.**  
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The Contractor shall make all corrections required by the Contracting Officer and promptly furnish a corrected submittal in the form and number of copies specified for the initial submittal. The Contractor shall make all corrections required by the Contracting Officer, obtain the Designer of Record's approval when applicable, and promptly furnish a corrected submittal in the form and number of copies specified for the initial submittal. Any "information only" submittal found to contain errors or unapproved variations from the Solicitation or Accepted Proposal shall be resubmitted as one requiring "approval" action, requiring both Designer of Record and Government approval. If the Contractor considers any correction indicated on the submittals to constitute a change to the contract, a notice in accordance with the Contract Clause "Changes" shall be given promptly to the Contracting Officer.

#### 1.6 WITHHOLDING OF PAYMENT

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**NOTE: Selection of construction or design-build  
 construction text required.**  
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Payment for materials incorporated in the work will not be made if required approvals have not been obtained. No payment for materials incorporated in the work will be made if all required Designer of Record or required Government approvals have not been obtained. No payment will be made for any materials incorporated into the work for any conformance review submittals or information only submittals found to contain errors or variations from the Solicitation or Accepted Proposal.

#### 1.7 GENERAL

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**NOTE: Selection of construction or design-build  
 construction text required.**  
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The Contractor shall make submittals as required by the specifications. The Contracting Officer may request submittals in addition to those specified when deemed necessary to adequately describe the work covered in the respective sections. Units of weights and measures used on all

submittals shall be the same as those used in the contract drawings. Each submittal shall be complete and in sufficient detail to allow ready determination of compliance with contract requirements. Prior to submittal, all items shall be checked and approved by the Contractor's Quality Control (CQC) System Manager Quality Control (CQC) System Manager and the Designer of Record, if applicable, and each item shall be stamped, signed, and dated by the CQC System Manager indicating action taken. Proposed variations from the contract requirements shall be clearly identified. Submittals shall include items such as: Contractor's, manufacturer's, or fabricator's drawings; descriptive literature including (but not limited to) catalog cuts, diagrams, operating charts or curves; test reports; test cylinders; samples; O&M manuals (including parts list); certifications; warranties; and other such required submittals. Submittals requiring Government approval shall be scheduled and made prior to the acquisition of the material or equipment covered thereby. Samples remaining upon completion of the work shall be picked up and disposed of in accordance with manufacturer's Material Safety Data Sheets (MSDS) and in compliance with existing laws and regulations.

## 1.8 SUBMITTAL REGISTER

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**NOTE:** Use the first bracketed sentence of the paragraph if the Contractor is required by the contract to use the Quality Control System (QCS). Use the second bracketed sentence of the paragraph if the Contractor will not be required by the contract to use the Quality Control System (QCS). It may not be necessary or beneficial to use the QCS in small, simple, short duration contracts/delivery orders for construction, or for other contracts where its use would not be in the best interest of the Government.

A submittal register or a submittal list is not a part of this guide specification; a register or listing must be developed locally for each project.

When creating a new section not covered by guide specifications, the following guidelines must be followed.

1. The submittal paragraph must be in PART 1 and entitled "1.x SUBMITTALS" ("x" represents any main paragraph number).
2. Each submittal category (SD-## Title) used must be identified in the submittal paragraph and surrounded by a set of submittal tags.
3. Items requiring a submittal are listed below the submittal categories (SD-## Title) surrounded by a set of submittal tags. If the submittal item is repeated elsewhere in a paragraph outside the submittal paragraph and that paragraph establishes the requirements for the item, the item should be tagged in the paragraph title or the paragraph text so that the paragraph number will appear on the submittal register. Tagging of the item in the

paragraph title should be the first choice.

#### 4. Submittal Classifications:

a. Government approved is required for submittals with a "G" designation. All submittals not requiring Government approval will be for information only. The "G" Submittal Classification can only appear in the submittal paragraph and must be included within a separate set of submittal tags immediately following the submittal item.

b. A Reviewer designation should be used anytime the "G" designation is used. The Reviewer is designated by inserting an identifier of three characters or less (e.g. "AE") immediately following the "G" designation. The identifier must be separated from the "G" designation by a space, comma, pipe symbol or dash (a comma and a space are used in the guide specifications). The "G" and the reviewer designation should be included within the same set of submittal tags.

When the submittal register is generated, SPECSINTACT software searches by section for the submittal paragraph within Part 1. Next it will search for submittal tags within the paragraph and within the section and place the information on the submittal register. Submittal registers generated through the QCS software utilize the submittal file generated by the SPECSINTACT software.

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At the end of this section is a submittal register showing items of equipment and materials for which submittals are required by the specifications; this list may not be all inclusive and additional submittals may be required. [The Contractor shall maintain a submittal register for the project in accordance with Section 01312A QUALITY CONTROL SYSTEM (QCS).] [The Government will provide the initial submittal register in electronic format. Thereafter, the Contractor shall maintain a complete list of all submittals, including completion of all data columns. Dates on which submittals are received and returned by the Government will be included in its export file to the Contractor. The Contractor shall track all submittals.]

The Designer of Record shall develop a complete list of submittals during design. The Designer of Record shall identify required submittals in the specifications, and use the list to prepare the Submittal Register. The list may not be all inclusive and additional submittals may be required by other parts of the contract. The Contractor is required to complete the submittal register and submit it to the Contracting Officer for approval within 30 calendar days after Notice to Proceed. The approved submittal register will serve as a scheduling document for submittals and will be used to control submittal actions throughout the contract period. The submit dates and need dates used in the submittal register shall be coordinated with dates in the Contractor prepared progress schedule. Updates to the submittal register showing the Contractor action codes and actual dates with Government action codes and actual dates shall be



submitted monthly or until all submittals have been satisfactorily completed. When the progress schedule is revised, the submittal register shall also be revised and both submitted for approval.

#### 1.9 SCHEDULING

Submittals covering component items forming a system or items that are interrelated shall be scheduled to be coordinated and submitted concurrently. Certifications to be submitted with the pertinent drawings shall be so scheduled. Adequate time (a minimum of [\_\_\_\_\_] calendar days exclusive of mailing time) shall be allowed and shown on the register for review and approval. No delay damages or time extensions will be allowed for time lost in late submittals. An additional [\_\_\_\_\_] calendar days shall be allowed and shown on the register for review and approval of submittals for [food service equipment] [and] [refrigeration and HVAC control systems].

For submittals requiring review by fire protection engineer, allow review period, beginning when Government receives submittal from QC organization, of [30] [\_\_\_\_\_] working days for return of submittal to the Contractor. Period of review for each resubmittal is the same as for initial submittal.

#### 1.10 TRANSMITTAL FORM (ENG FORM 4025)

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**NOTE: ENG Form 4025 is not a part of this guide specification; the sample ENG Form 4025 must be added to this section locally. If the Contractor is required to use the QCS software for the contract, that system includes an electronic version of ENG Form 4025.**  
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The sample transmittal form (ENG Form 4025) attached to this section shall be used for submitting both Government approved and information only submittals in accordance with the instructions on the reverse side of the form. These forms [will be furnished to the Contractor] [are included in the QCS software that the Contractor is required to use for this contract]. This form shall be properly completed by filling out all the heading blank spaces and identifying each item submitted. Special care shall be exercised to ensure proper listing of the specification paragraph and/or sheet number of the contract drawings pertinent to the data submitted for each item.

#### 1.11 SUBMITTAL PROCEDURES

Submittals shall be made as follows:

##### 1.11.1 Procedures

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**NOTE: Add applicable procedures, including where to be submitted and number of copies required.**  
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a. Submittals in four (4) copies covering materials, equipment, design, etc. shall be as follows:

[\_\_\_\_\_] Resident Engineer Office

[Address]

b. Submittals of operation and maintenance manuals in seven (7) copies shall be as follows:

[\_\_\_\_\_] Resident Engineer Office  
[Address]

c. Submittals required to be sent to Transatlantic Programs Center, Winchester, Virginia, shall be addressed as follows:

(1) DHL, FEDEX, UPS or any other courier service:

U.S. Army Corps of Engineers  
Transatlantic Programs Center (CETAC-EC-TT-QC, Attn: H. Spaulding)  
201 Prince Frederick Drive  
Winchester, VA 22602

(2) U.S. Postal Service:

U.S. Army Corps of Engineers  
Transatlantic Programs Center (CETAC-EC-TT-QC, Attn: H. Spaulding)  
P.O. Box 2250  
Winchester, VA 22604-1450

[\_\_\_\_\_] [The Government will further discuss detailed submittal procedures with the Contractor at the] [Preconstruction Conference] [Post-Award Conference]].

#### 1.11.2 Variations

Variations from contract requirements require Government approval pursuant to contract Clause entitled "FAR 52.236-21, Specifications and Drawings for Construction" and will be considered where advantageous to Government.

##### 1.11.2.1 Considering Variations

Discussion with Contracting Officer prior to submission, will help ensure functional and quality requirements are met and minimize rejections and resubmittals.

##### 1.11.2.2 Description of Variations

If construction submittals show variations from the contract parameters/requirements, the Contractor shall describe such variations in writing, at the time of submission. Additionally, the Contractor shall also annotate block "h" entitled "variation" of ENG FORM 4025. If the Government review detects any items not in compliance with contract requirements or items requiring further clarification, the Contractor will be so advised. Lack of notification by the Contracting Officer of any non-complying item does not relieve the Contractor of any contractual obligation. The Contractor shall justify all design variation requests by providing the following minimum information:

- a. Reason or purpose for proposed variation, substitution, or revision.
- b. How does quality of variation compare with quality of the specified

item. This shall be in the form of a technical evaluation tabulating differences between the item originally specified and what is proposed.

c. Provide a cost comparison. This shall include an acquisition and life cycle cost comparison.

d. For proprietary materials, products, systems, and patented processes a certification signed by an official authorized to certify in behalf of the manufacturing company that the proposed substitution meets or exceeds what was originally specified.

e. For all other actions, a certification signed by a licensed professional engineer or architect certifying that the proposed variation or revision meets or exceeds what was originally specified.

f. Advantage to the Government, if variation is approved, i.e. Operation and Maintenance considerations, better product, etc.

g. Ramifications and impact, if not approved.

#### 1.11.2.3 Warranting That Variations Are Compatible

When delivering a variation for approval, Contractor warrants that this contract has been reviewed to establish that the variation, if incorporated, will be compatible with other elements of work.

#### 1.12 CONTROL OF SUBMITTALS

The Contractor shall carefully control his procurement operations to ensure that each individual submittal is made on or before the Contractor scheduled submittal date shown on the approved "Submittal Register."

#### 1.13 GOVERNMENT APPROVED SUBMITTALS

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**NOTE: Selection of construction or design-build  
 construction text required.**  
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Upon completion of review of submittals requiring Government approval, the submittals will be identified as having received approval by being so stamped and dated. [ ] copies of the submittal will be retained by the Contracting Officer and [ ] copies of the submittal will be returned to the Contractor. If the Government performs a conformance review of other Designer of Record approved submittals, the submittals will be so identified and returned, as described above.

#### 1.14 INFORMATION ONLY SUBMITTALS

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**NOTE: Selection of construction or design-build  
 construction text required.**  
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Normally submittals for information only will not be returned. Approval of the Contracting Officer is not required on information only submittals. The Government reserves the right to require the Contractor to resubmit any item found not to comply with the contract. This does not relieve the Contractor from the obligation to furnish material conforming to the plans

and specifications; will not prevent the Contracting Officer from requiring removal and replacement of nonconforming material incorporated in the work; and does not relieve the Contractor of the requirement to furnish samples for testing by the Government laboratory or for check testing by the Government in those instances where the technical specifications so prescribe. For design-build construction the Government will retain [\_\_\_\_\_] copies of information only submittals.

#### 1.15 STAMPS

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**NOTE: Selection of construction or design-build  
construction text required.**  
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Stamps used by the Contractor on the submittal data to certify that the submittal meets contract requirements shall be similar to the following:

<p style="text-align: center;">CONTRACTOR</p> <p style="text-align: center;">(Firm Name)</p> <p>_____ Approved</p> <p>_____ Approved with corrections as noted on submittal data and/or attached sheets(s).</p> <p>SIGNATURE: _____</p> <p>TITLE: _____</p> <p>DATE: _____</p>
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For design-build construction, both the Contractor Quality Control System Manager and the Designer of Record shall stamp and sign to certify that the submittal meets contract requirements.

PART 2 PRODUCTS

Not used.

PART 3 EXECUTION

Not used.

-- End of Section --